

PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS

A. Packaging Records for Transfer to Federal Records Center. Records are transferred in standard GSA cardboard cartons, as specified below, each holding 1 cubic foot. NO EXCEPTIONS PERMITTED. The cartons shall accommodate **either** letter or legal-sized material. Special containers may be obtained for oversized materials, punch cards, or magnetic tapes. Nonstandard boxes cannot be used.

B. Shipping Containers and Related Supplies. The standard record shipping container to be used for the transfer of files is a **fiberboard** (lock bottom with **reinforced hand** holes on each side) ; 275-pound **test**; size 14-3/4 x 12 x 9-1/2 inches; FSN 8115-00-117-8249.

C. Requisitioning. Standard-sized boxes are available in the office of the OSD Records Administrator. Containers for **odd-size** boxes should be ordered directly from supply services using the stock numbers listed below.

D. Shipping Containers for Odd-Sized Documents. When records being shipped are too large or too small for the container described above, the documents shall be securely packed and shipped in a manner that prevents damage enroute. The following containers are recommended for the types of records indicated: (For documents that are normally shipped rolled (maps, charts, plans), fold them and ship in the standard containers described above.)

1. Half-size Box. **14-3/4 X 9-1/2 X 4-7/8** inches NSN 8115-00-117-8338. For shipping 3 by 5-inch card' files when strips of cardboard are placed between rows of cards and wadded paper is used to fill any open space in the box. In addition, this box is suitable for shipping punched cards.

2. Magnetic Tape Box, 14-3/4 x 11-3/4 x 11-3/4 inches for Magnetic Tape Records, NSN 8115-00-117-8347.

3. Microfiche Box, 14-3/4 x **6-1/2** x 4-1/2, NSN 8115-01-025-3254.

E. Listing Records for Transfer or Retirement. **Files** to be retired to the **WNRC** shall be identified on SF 135, "Records Transmittal and **Receipt.**" When more than one page is required, SF 135A, "Record Transmittal and Receipt Continuation," is used. SF 135 serves as a packing list for the transfer and retirement of files; as a medium for controlling the location and disposition of files in record holding areas and record centers;

and as a receipt for records retired to records centers. Note that in Column 6 (h), Disposal Authority, **the AI 15** files series number **and** NARA Job Number (NC1-33 O-XX-XX found at the head of each chapter or series description) , must be entered EXCEPT for those records contained in a General Records Schedule (GRS), in which case **only** the GRS citation should be listed. These will be found at the end of the **series** descriptions to which they pertain.

F. Transfer of Records to Other External Organizations

1. Unclassified files transferred to other external organizations as a result of a transfer of functions, or for other reasons, shall be approved by the OSD Records Administrator, and listed on SF 135 (prepared in **quadruplicate**) .

2.- Distribution of **Consolidated** Records Transmittal List:

a. The original and one copy is forwarded to the receiving organization.

b. Another copy is given to the OSD Records Administrator.

G. How to Prepare Records for Retirement and Shipment to the Federal Records Center.

1. Records Transmittal and Receipt, SF 135 (see Figure 8-1) .

a. The retirement and transfer of records require the **preparation** of a SF 135. These are available at the OSD Forms Center, Room 3A3 & 4. As the attachment illustrates, each different series of records is a block of records having the same disposal authority and the same disposal date. . The revised SF135 has detailed instructions for completion on the reverse side of the printed form. In addition to these instructions, the OSD Components shall:

(1) Describe the records adequately, including the inclusive dates in column f. and the security classification in **column g**. NOTE : For **PERMANENT** records a folder title list of the box contents or equivalent detailed records description must be provided.

(2) Obtain the accession numbers from the OSD Records Administrator, Room **5C315**, telephone 695-0970. When entering volume on the SF 135, except when special containers are used to package oversized materials, punch cards, or magnetic tapes and volume should be expressed as number of boxes or containers, capacity of standard GSA cardboard records retirement cartons is one cubic foot; i.e. , the appropriate entry is the total number

of boxes comprising the accession.

(3) When completing column 6(h), Disposal Authority, in addition to the AI 15 disposal citation, you must include either the General Records Schedule disposal authority or the SF 115 (Request for Records Disposition Authority) Job Number. These are found at the beginning of the chapters or the specific files series contained in enclosure 4. If you cannot find these citations or are not sure which ones apply to the records you are preparing for transfer, call the Records Management Division for assistance. Sample entries are provided below.

(a) **AI 15**, para. **912-01, N1-330-88-3**.

(b) **AI 15**, para **206-09.1b**, GRS **6,1.A.2**.

(4) Complete **the** SF 135 in an original and four copies. Forward the original and three copies to the OSD Records Administrator for signature in block 2. Retain one copy for your permanent file. Since this is the only source of information describing the records you are transferring to the Federal Records Center, this document is vital to you and your successors when the need arises to retrieve specific papers from the Federal Records Center. The location information will be furnished to you later (see (b), below).

(a) When retrieval is necessary, identify the accession number of the box that contains the specific material, along with the box and location numbers.

(b) The location information will be furnished to you by the Federal Records Center through the **OSD** Records Administrator, and recorded on columns (j) , (k), **(1)**, and **(m)** of SF 135 returned from the Federal Records Center.

b. The transfer of records constituting a system of records subject to the provisions of DoD Directive 5400.11 (reference (k)) **shall** be accompanied by the most recent OSD Privacy Act notices covering the records.

2. Packing the Cartons

a. Before placing records in the GSA cartons, the OSD Components **shall** make sure that any records eligible for destruction are destroyed as authorized in the OSD Records Disposal Schedules.

b. Records shall be packed snugly in the box, but not forced. Existing filing arrangement shall not be disturbed to

make future reference easier; fairly active files **shall** be packed less tightly than files not expected to be referred to often.

c. Records having different retention periods may not be packed in the same box, nor have the same accession number. The Records Disposal Schedules in enclosure 4 contain retention periods.

3. Labeling and Transferring the Boxes. The information printed on the end of the box shall be completed in black magic marker (available in the **WHS** Supply Room) , and include the accession number, carton number, and security classification if any. The boxes shall be numbered consecutively in the upper right hand corner of the front end of the box starting with No. 1 for each accession number. Each series of records transferred shall **be** assigned a **separate accession** number.

4. Transfer of Classified Security Information

a. When eligible for retirement, classified records like unclassified records, shall be transferred to the Federal Records Center. In filling out the SF 135, column g. (Restrictions), must be completed to indicate the classification of the records being transferred. For column f. (Series Description), care shall be taken in describing the records so as not to include any classified information in the description of the file.

b. Before transferring classified material, ascertain whether or not the material can legitimately be downgraded in accordance with Section 4, para 3-402, Chapter III, **DDO 5200.1-R** (reference (h)), or destroyed.

c. Reference (h) regulations for safeguarding classified material must be followed when classified material is packed in boxes. Paragraphs **8-200b.4** and **8-201b**, must be complied with before transfer or disposal of any classified material. Boxes containing classified data must be taped closed, taking care not to cover the informational matter listed on the **outside** of the box (see Figure 8-2). Each box must be marked conspicuously with the highest classification of material contained in that respective box. If the boxes are not transferred to the OSD Records Management Office but shipped to the Federal Records Center, the provisions of Chapter VIII of must be complied with.

d. **TOP SECRET** material can be transferred to the **WNRC**. The SF 135 is completed in the usual manner except that the continuation sheet lists the TOP SECRET documents under each subject and file number to facilitate identification for possible future downgrading. Classified titles are not listed since the SF 135 must be unclassified. TOP SECRET material is not filed in

any accession identified as SECRET or below in classification. The **WNRC** provides separate storage for TOP SECRET. Failure to retire TOP SECRET documents under a properly identified TOP SECRET accession number constitutes a security violation.

e. See subsection 1.5., below, for the transfer of Restricted Data or Critical Nuclear Weapon Design Information (**CNWDI**) .

H. Material That Should be Destroyed. All eligible records are identified and destroyed in accordance with the disposal standards authorization contained in enclosure 4. Destroy obsolete-reference **material, such as** extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Extra carbon and xerox copies should be eliminated. See enclosure 7 to this Instruction for more detailed instructions-.

I. Use of Restricted Column

1. A single classification shall be shown for each accession number.

2. The classification of each document in the box is not shown , only the highest classification in the box.

3. Interfiling only a few classified documents in an accession number that is predominantly unclassified shall be avoided.

4. Example of how to complete Form 135 is shown in figure 8-1.

5. Boxes containing Restricted Data as defined in DoD Direction 5200.30 (reference (i)) or **CNWDI** shall use the "Q" designation and clearly indicate on the SF 135 that access is restricted to individuals who are cleared for Restricted Data or **CNWDI**, as appropriate, in addition to further restricting use to only individuals of the office that retired the records.

J. Packing Procedures. The instructions contained in this paragraph govern the arrangement and packing of files for retirement and transfer to the **WNRC**.

1. General. Regardless of the type of container used for files, containers shall be filled with only one row **of** file folders, not stacked one on top of the other.

2. Arrangement in Fiberboard Boxes. The following

instructions govern the packing of files:

a. Letter and legal-sized files shall be packed in fiberboard boxes. When filled to capacity, the box holds 15 inches of letter-sized or 12 inches of legal-sized files.

b. The dimensions of the corrugated fiberboard boxes are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. When it is necessary to ship partially filled boxes, the space between the files and the **inner** walls of the box is packed with crumpled or wadded paper of other suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, or surplus file folders are not **used** as packing material.

c. Boxes **may** be filled-to **capacity** whenever sufficient files are available. However, care must be exercised to ensure that boxes are not packed so tightly that files cannot be serviced while in the container, or that it prevents the box from being closed completely with the flaps flat.

3. Packing of Files for Retirement. Permanent files and files having a disposal date shall be packed in separate boxes when they are retired to a records center under separate accession numbers. -

K. **Packing and Shipping Classified Files.** The instructions contained in this paragraph govern the packing and shipping of files classified SECRET and CONFIDENTIAL. The shipment **of** large quantities of unclassified material in classified shipments is discouraged. As a general rule, provided file integrity is not damaged:

1. For shipments of 10 cubic feet or less in which more than half the material is unclassified, it should be segregated and **forwarded** as two shipments, one classified, the other unclassified.

2. For shipments in excess of ten cubic feet containing 25 percent or more unclassified material, the latter material is segregated and forwarded as an unclassified shipment.

Standard Form 135 (SF 135),
"Records Transmittal and Receipt"

Figure 8-1

RECORDS TRANSMITTAL AND RECEIPT										Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.		PAGE 1 OF 1 PAGES											
t. To (Complete the address for the records center serving your area as shown in 38 CFR 1228.150.)										5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)													
Federal Records Center Washington National Records Center Washington, D. C. 20409										Department of Defense Washington Headquarters Services Room 5C315 The Pentagon Washington, D.C. 20301-1155													
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title) OSD Records Administrator					DATE																
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Verloren Denkmals, OUSD(A) XXX Division, Room 4D901, 695-0000																					
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)					DATE																
6. RECORDS DATA																							
ACCESSION NUMBER		VOLUME (cu. ft.)		AGENCY BOX NUMBERS		SERIES DESCRIPTION (With inclusive dates of records)		RESTRICTION		DISPOSAL AUTHORITY (Schedule and item number)		DISPOSAL DATE		COMPLETED BY REC		DS		CONT.		TYPE		DISP.	
RG FY UMBER		OLUME (cu. ft.)		AGENCY BOX NUMBERS		SERIES DESCRIPTION (With inclusive dates of records)		RESTRICTION		DISPOSAL AUTHORITY (Schedule and item number)		DISPOSAL DATE		COMPLETED BY REC		DS		CONT.		TYPE		DISP.	
(a) (b) (c)		(d)		(e)		(f)		(g)		(h)		(i)		(j)		(k)		(l)		(m)		(n)	
330 2 210		3				OUSD(A) PROGRAM FILES, 1989-1991		3		OSD AI 15 213 Para. 1201-09 NFI-330-77-11 330-77-4		PERM . Avail o NARA hen 25 rs old		30									
				1		Procurement, Surplus Property, Real Property (1989-91)																	
				2		Property, Supplies, Logistics Transportation, Mobilization (1990)																	
				3		Installations, Housing, Maintenance, Construction (I-989)																	
NOTE : ACCESS TO THESE RECORDS IS RESTRICTED TO OUSD(A), OSD OFF: INITIALS ONLY																							

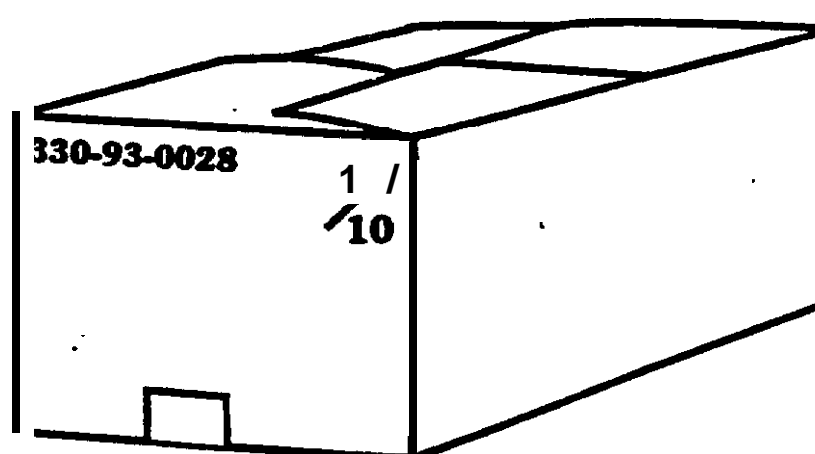
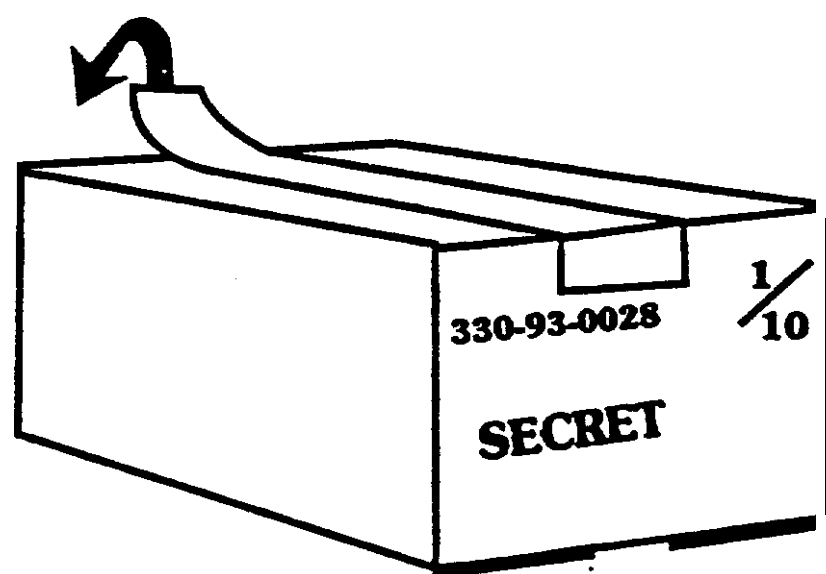
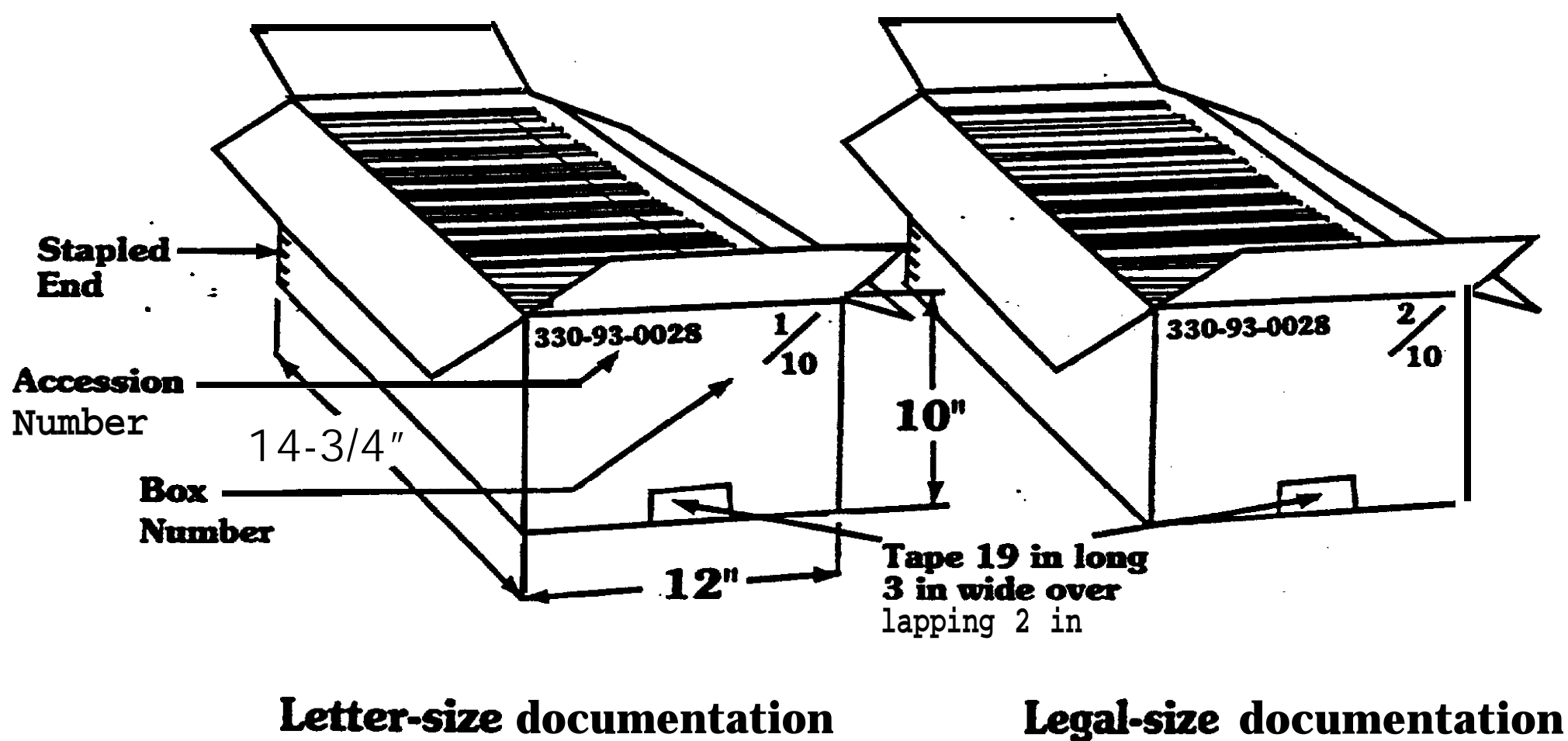


Figure 8 _2
Labeling of Retirement Boxes